

PATENT APPLICATION SERIAL NO. **09/269250**

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

03/25/1999 MCLAYBRD 00000067 09269250

01 FC:960 970.00 OP  
02 FC:964 78.00 OP

Adjustment date: 06/14/1999 MCLAYBRD  
03/25/1999 MCLAYBRD 00000067 09269250  
01 FC:960 -970.00 OP

PTO-1556  
(5/87)

06/14/1999 MCLAYBRD 00000056 09269250

01 FC:970 840.00 OP

Repln. Ref: 06/14/1999 MCLAYBRD 0012073100  
DATE: 03/25/99 NAME/NUMBER: 09269250  
FC: 704 \$130.00 CR

418 Rec'd ST/PTO 23 MAR 1999

FORM PTO-1390  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

2799/58994

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**09/269250**INTERNATIONAL APPLICATION NO.  
PCT/EP98/04928INTERNATIONAL FILING DATE  
23 July 1998PRIORITY DATE CLAIMED  
23 July 1997 & 2 June 1998TITLE OF INVENTION  
METHOD FOR TYPING OF MINOR HISTOCOMPATIBILITY ANTIGEN HA-1

APPLICANT(S) FOR DO/EO/US

EIS GOULMY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:

Express Mail Certificate of Mailing bearing Express Mail Label No.  
EJ 700 079 662 US dated March 23, 1999

- 17.
- ☒
- The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO ..... \$970.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$760.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$670.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 970.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	19 - 20 =	0	X \$18.00
Independent claims	4 - 3 =	1	X \$78.00

\$ 0

\$ 78.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$260.00

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement  
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$

**SUBTOTAL =**

\$

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

**TOTAL FEES ENCLOSED =**

\$ 1,048.00

Amount to be:

refunded \$

charged \$

- a.
- ☒
- A check in the amount of \$
- 1,048.00
- to cover the above fees is enclosed.

- b.
- ☐
- Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.
- 
- A duplicate copy of this sheet is enclosed.

- c.
- ☒
- The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
- 
- overpayment to Deposit Account No.
- 03-3125
- . A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Robert D. Katz, Esq.  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
(212) 278-0400

SIGNATURE:

Robert D. Katz, Esq.

NAME

30,141

REGISTRATION NUMBER

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
[37 CFR 1.27(f) and 1.27(d)] -- NONPROFIT ORGANIZATION

p49163L1520

Applicant or Patentee: Elsa Afra Julia Maria GOULMY Docket No. \_\_\_\_\_  
Serial or Patent No.: \_\_\_\_\_  
Filed or Issued: 23 March 1999  
For: Method for typing of minor histocompatibility antigen HA-1

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Rijksuniversiteit Leiden  
ADDRESS OF ORGANIZATION: Stationsweg 46 PB 9500, 2300 RA Leiden, the Netherlands

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC 501(a) and 501(c) (3)]  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC 501(a) and 501(c) (3)] IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled Method for typing of minor histocompatibility antigen HA-1

by inventor(s) Elsa Afra Julia Maria Goulmy

- \_\_\_\_\_ described in  
☐ the specification filed herewith  
☒ application serial no. \_\_\_\_\_, filed 23 March 1999  
☐ Patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 USC §1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING S.J. Buijsse  
TITLE IN ORGANIZATION Managing Director Div 2  
ADDRESS OF PERSON SIGNING Stationsweg 46, PB 9500, 2300 RA Leiden, the Netherlands

SIGNATURE \_\_\_\_\_

DATE 19 April 1999

418 Rec'd PCT/PT 23 MAR 1999  
09/269250

Dkt. 58994/RDK

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : EIS GOULMY  
Int. Filing Date : 23 July 1998  
Int. App No. : PCT/EP98/04928  
Serial No. : Not yet known  
Filing Date : Concurrently Herewith  
For : METHOD FOR TYPING OF MINOR  
HISTOCOMPATIBILITY ANTIGEN HA-1

1185 Avenue of the Americas  
New York, N.Y. 10036  
March 22, 1999

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Box PCT

**EXPRESS MAIL**  
**CERTIFICATE OF TRANSMITTAL**  
**FOR ABOVE-IDENTIFIED APPLICATION**

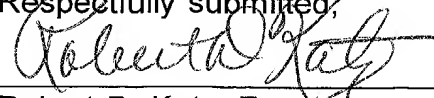
Express Mail mailing label number EL 700 079 662 US

Date of Deposit March 23, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231.

  
Printed Name: Jamel Rhabb

Respectfully submitted,

  
Robert D. Katz, Esq.  
Registration No. 30,141  
Attorney for Applicant  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
(212) 278-0400